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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Clifford J. Weber *et al.*

Appl. No.: 10/753,069

Filed: January 8, 2004

For: **SYSTEMS AND METHODS FOR
TRADING ACTIVELY MANAGED
FUNDS**

Art Unit: 4194

Examiner: TBA

Confirmation No.: 5428

Atty. Docket: 00322.0008.CPUS01

Customer Number: 22930

**TRANSMITTAL FOR SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

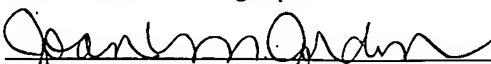
Applicants submit the following documents for appropriate action by the U.S. Patent and
Trademark Office:

- ☒ Information Disclosure Statement under 37 C.F.R. §1.56, 1.97 and 1.98;
- ☒ Form SB/08a and SB/08b citing fifty (50) references and including copies of B1-B5 and C1-C17; and
- ☒ Return postcard.

CERTIFICATE OF MAILING
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to *Mail Stop Amendment*, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

April 23, 2008
Date of Deposit

Joan M. Gordon
Name of Person Mailing Paper

Signature of Person Mailing Paper

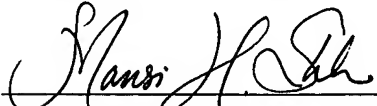


Howrey Dkt. No.: 00322.0008.CPUS01

Applicants believe no fees are due in connection with this transmittal. However, if any fees are in fact due, the Commissioner is hereby authorized to charge our Deposit Account No. **08-3038**. Kindly make reference to Howrey Docket No. **00322.0008.CPUS01** when debiting this account.

Respectfully submitted,

Date: April 23, 2008


Mansi H. Shah, Reg. No. 59,904

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

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P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Supplemental Information Disclosure Statement be entered and the documents listed on attached Form SB/08a and SB/08b be considered by the Examiner and made of record. A copy of the documents listed as "other art" (C1-C17) required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner, along with copies of five (5) Foreign Patent Documents (B1-B5).

Certain documents listed on the attached Form SB/08a are U.S. Patents or U.S. Patent Application Publications; therefore, no copies of these documents are included with this submittal, in accordance with the Waiver issued by the Office of Patent Legal Administration on July 11, 2003.

CERTIFICATE OF MAILING

(37 C.F.R. §1.8a)

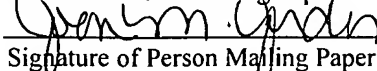
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Name of Person Mailing Paper


Signature of Person Mailing Paper



Howrey Dkt. No.: 00322.0008.CPUS01

In accordance with 37 C.F.R. §§ 1.97(g),(h), this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Supplemental Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits, therefore no statement under 37 C.F.R. § 1.97(e) or fee is required.

Applicants believe no fees are due in connection with this transmittal. However, if any fees are in fact due, the Commissioner is hereby authorized to charge our Deposit Account No. **08-3038**. Kindly make reference to Howrey Docket No. **00322.0008.CPUS01** when debiting this account.

It is respectfully requested that the Examiner initial and return a copy of the enclosed Form SB/08a and SB/08b and indicate in the official file wrapper of this patent application that the documents have been considered.

Applicants respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,

Mansi H. Shah, Reg. No. 59,904

Date: April 23, 2008

HOWREY, LLP

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